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PTO/SB/05 (2/98)

Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No. 1089.0350001/DKSC/TUM

First Inventor or
Application Identifier QIU et al.Title A Piezoelectric Element and Method of
Manufacturing Same (as amended)

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification [Total Pages 53]

(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 15]

4. ☒ Oath or Declaration [Total Pages 6]

- a. ☐ Newly executed (original or copy)

- b. ☒ Copy from a prior application (37 CFR 1.63(d)) (for
continuation/divisional with Box 17 completed)
[Note Box 5 below]

1. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR §§
1.63(d)(2) and 1.33(b).

5. ☒ Incorporation By Reference (useable if Box 4b is checked)

The entire disclosure of the prior application, from which a copy of the oath
or declaration is supplied under Box 4b, is considered as being part of the
disclosure of the accompanying application and is hereby incorporated by
reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission (if
applicable, all necessary)

- a. ☐ Computer Readable Copy

- b. ☐ Paper Copy (identical to computer copy)

- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))

9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☒ Information Disclosure ☐ Copies of IDS Citations
Statement (IDS)/PTO-1449

12. ☒ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

14. ☐ *Small Entity Statement(s) ☐ Statement filed in prior
(PTO/SB/09-12) application, Status still proper
and desired

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☒ Other: 37 C.F.R. § 1.136(a)(3) Authorization

- ☒ Other: Request to Approve Proposed Drawing Correction

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A
SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A
PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/534,573

Prior application information: Examiner C. Koslow Group/Art Unit: 1755

18. CORRESPONDENCE ADDRESS

☐ Customer Number
or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence
address below

NAME STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Attorneys at Law

ADDRESS Suite 600, 1100 New York Avenue, N.W.

CITY Washington

STATE

DC

ZIP CODE

20005-3934

COUNTRY

USA

TELEPHONE

(202) 371-2600

FAX

(202) 371-2540

NAME (Print/Type)

Teresa U. Medler

Registration No. (Attorney/Agent)

44,933

SIGNATURE

Date

1/18/02

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	To Be Assigned
Filing Date	January 18, 2002
First Named Inventor	Qiu
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	1089.0350001/DKSC/TUM

TOTAL AMOUNT OF PAYMENT (\$740.00)

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number

19-0036

Deposit Account Name

Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money Order ☒ Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	\$740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 740.00

2. EXTRA CLAIM FEES

Extra	Fee from below	Fee Paid
Total Claims 10 - 20** = 0	X	= 0
Indep. Claims 3 - 3** = 0	X	= 0
Multiple Dependent		=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

Complete (if applicable)**SUBMITTED BY**

Name (Print/Type)

Teresa U. Medler

Registration No.
(Attorney/Agent)

44,933

Telephone

202-371-2600

Signature

Date

1/18/02

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STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W. • WASHINGTON, D.C. 20005-3934

PHONE: (202) 371-2600 • FACSIMILE: (202) 371-2540 • www.skgf.com

J1046 U.S. PTO
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01/18/02

ROBERT GREENE STERNE
EDWARD J. KESSLER
JORGE A. GOLDSTEIN
SAMUEL L. FOX***
DAVID K.S. CORNWELL
ROBERT W. ESMOND
TRACY-GENE G. DURKIN
MICHELE A. CIMBALA
MICHAEL B. RAY
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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

January 18, 2002

WRITER'S DIRECT NUMBER:
(202) 371-2578

INTERNET ADDRESS:
TMEDLER@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To Be Assigned; Filed: January 18, 2002
(Divisional of U.S. Appl. No. 09/534,573; Filed: March 27, 2000)
For: **A Piezoelectric Element and Method of Manufacturing Same (as amended)**
Inventors: QIU *et al.*
Our Ref: 1089.0350001/DKSC/TUM

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. Fee Transmittal Form (PTO/SB/17) (in duplicate);
2. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
3. U.S. Utility Patent Application entitled:

Method for Manufacturing Piezoelectric Material

and naming as inventors:

Hong QIU
Koji SUMI

Commissioner for Patents

January 18, 2002

Page 2

Tsutomu NISHIWAKI

Masanori OKUYAMA

Zhiqiang WEI

the application comprising:

- a. specification containing:
 - i. 44 pages of description prior to the claims;
 - ii. 8 pages of claims (29 claims);
 - iii. a one (1) page abstract;
 - b. 15 sheets of drawings: (Figures 1, 2, 3(A)-3(E), 4-15); and
 - c. a copy of the executed combined Declaration and Power of Attorney, as originally filed in U.S. Appl. No. 09/534,573;
4. Application Data Sheet;
 5. Preliminary Amendment;
 6. Request to Approve Proposed Drawing Correction with a copy of FIG.3 with proposed corrections marked in red;
 7. Information Disclosure Statement (in duplicate);
 8. Form PTO-1449 (one sheet);
 9. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time (in duplicate);
 10. Two (2) return postcards; and
 11. Our check no. 33882 to cover: \$740.00 filing fee for patent application (37 C.F.R. § 1.16).

Commissioner for Patents
January 18, 2002
Page 3

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Dr. h. Müller

Teresa U. Medler
Attorney for Applicants
Registration No. 44,933

DKSC/TUM:hmb

Enclosures

P:\USERS\HBEALE\TUM\1089\0350001\1-9-01.pto.ltr
SKGF Rec. 3/7/00 dcw

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

QIU *et al.*

Appl. No. To Be Assigned (Divisional of
U.S. Appl. No. 09/534,573;

Filed: March 27, 2000)

Filed: January 18, 2002

For: **A Piezoelectric Element and
Method of Manufacturing Same
(as amended)**

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: 1089.0350001/DKSC/TUM

J1046 U.S. PTO
10/050586
01/18/02

**Authorization To Treat A Reply As Incorporating An Extension Of Time
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Teresa U. Medler 31,944
for Teresa U. Medler
Attorney for Applicants
Registration No. 44,933

Date: 1-18-02
1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600

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SKGF Rev. 7/7/98

PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

01/24/2002 JIMLINAM 00000044 10050586

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PTO-1556

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